

FORM PTO-1449 (Modified)			Attorney Docket No.	Application No.:		
LIST OF PATENTS AND PUBLICATIONS FOR APPLICANT'S INFORMATION DISCLOSURE			E-11	10/613,609		
STATEMENT (use several sheets if necessary)			Applicant: RONDALE A. UNDERWOOD			
06 2003			Filing Date: JULY 2, 2003	Group: 3763		
Reference Designation		U.S. PATENT DOCUMENTS				
Examiner Initial	Document No.	Date	Name	Class	Sub-class	Filing Date
FOREIGN PATENT DOCUMENTS						
	Document No.	Date	Country	Class	Sub-class	Translation (yes/no)
<u>MP</u> AA	EP 0 694 290	11/15/00	Europe	A61B	18/04	
<u>MP</u> AB	92/21278	12/10/92	WIPO	A61B	5/04	
<u>MP</u> AC	94/08654	04/28/94	WIPO	A61M	37/00	
<u>MP</u> AD	97/00647	01/09/97	WIPO	A61B	17/39	
<u>MP</u> AE	97/00646	01/09/97	WIPO	A61B	17/39	
<u>MP</u> AF	EP 0 703 461	03/27/96	Europe	G01R	27/02	
<u>MP</u> AG	EP 0 754 437	01/22/97	Europe	A61B	17/39	
<u>MP</u> AH	97/48345	12/24/97	WIPO	A61B	17/39	
<u>MP</u> AI	98/27880	07/02/98	WIPO	A61B	17/39	
<u>MP</u> AJ	2 327 350	01/27/99	UK	A61B	17/39	
<u>MP</u> AK	2 327 351	01/27/99	UK	A61B	17/39	
<u>MP</u> AL	2 327 352	01/27/99	UK	A61B	17/39	
<u>MP</u> AM	3930451	03/21/91	Germany	A61B	17/39	
<u>MP</u> AN	57-57802	04/05/82	JP	A61B	1/00	
OTHER ART (Including Author, Title, Date, Pertinent Pages, Etc.)						
<u>MP</u> AO	Pearce, John A. (1986) Electrosurgery, pgs. 17, 69-75, 87, John Wiley & Sons, New York.					
<u>MP</u> AP	J.W. Ramsey et al. Urological Research Vol. 13, pp. 99-102 (1985).					
<u>MP</u> AQ	V.E. Elsasser et al. Acta Medicotechnica Vol. 24, No. 4, pp. 129-134 (1976).					
<u>MP</u> AR	P.C. Nardella (1989) SPIE 1068:42-49 Radio Frequency Energy and Impedance Feedback					
<u>MP</u> AS	R. Tucker et al., Abstract P14-11, p. 248, "A Bipolar Electrosurgical Turp Loop"					
<u>MP</u> AT	R. Tucker et al. J. of Urology Vol. 141, pp. 662-665, (1989).					
<u>MP</u> AU	R. Tucker et al. Urological Research Vol. 18, pp. 291-294 (1990).					
<u>MP</u> AV	Kramolowsky et al. J. of Urology Vol. 143, pp. 275-277 (1990).					
EXAMINER	DATE CONSIDERED			7/22/05		

EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

FORM PTO-1449 (Modified)

Attorney Docket No.

Application No.:

LIST OF PATENTS AND PUBLICATIONS FOR  
APPLICANT'S INFORMATION DISCLOSURE  
STATEMENT  
(Use several sheets if necessary)

E-11

10/613,609

Applicant: RONDALE A. UNDERWOOD

Filing Date:  
JULY 2, 2003

Group: 3763

## Reference Designation

## U.S. PATENT DOCUMENTS

Examiner Initial	Document No.	Date	Name	Class	Sub-class	Filing Date

## FOREIGN PATENT DOCUMENTS

	Document No.	Date	Country	Class	Sub-class	Translation (yes/no)
MP AW	WO 95/34259	12/21/95	WIPO	A61F	5/48	
MP AX	WO 93/13816	07/22/93	WIPO	A61B	17/36	
MP AY	WO 90/07303	07/12/90	WIPO	A61B	17/39	
MP AZ	WO 94/04220	03/03/94	WIPO	yes	A61N	1/06
MP BA	0 740 926 A2	11/06/96	EP	A61B	17/39	
MP BB	96/00042	01/04/96	WIPO	A61B	17/39	
MP BC	97/24073	07/10/97	WIPO	A61B	17/39	
MP BD	97/24993	07/17/97	WIPO	A61B	17/39	
MP BE	97/24994	07/17/97	WIPO	A61B	17/39	
MP BF	97/48346	12/24/97	WIPO	A61B	17/39	
MP BG	98/07468	02/26/98	WIPO	A61N	1/40	
MP BH	2 308 979	07/16/97	GB	A61B	17/36	
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MP BJ	2 308 981	07/16/97	GB	A61B	17/36	
MP BK	57-117843	07/22/82	JP	A61B	17/39	
MP BL	99/51158	10/14/99	WIPO	A61B	17/39	
MP BM	99/51155	10/14/99	WIPO	A61B	17/36	
MP BN	98/27879	07/02/98	WIPO	A61B	17/36	
MP BO	WO 97/24074	07/10/97	WIPO	A61B	17/39	

## OTHER ART (Including Author, Title, Date, Pertinent Pages, Etc.)

MP BP	Kramolowsky et al. J. of Urology Vol. 146, pp. 669-674 (1991).
MP BQ	Slager et al. Z. Kardiol. 76:Suppl. 6, 67-71 (1987).
MP BR	Slager et al. JACC 5(6):1382-6 (1985).
MP BS	Olsen MD, Bipolar Laparoscopic Cholecstectomy Lecture (marked confidential), 10/07/91

EXAMINER

*Mr. Paffay*

DATE CONSIDERED

*7/20/05*

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<p>LIST OF PATENTS AND PUBLICATIONS FOR APPLICANT'S INFORMATION DISCLOSURE STATEMENT (Use several sheets if necessary)</p> <p style="text-align: center;">07 06 2003 PATENT &amp; TRADEMARK OFFICE USA</p>			E-11	10/613,609			
			Applicant: RONALD A. UNDERWOOD				
			Filing Date: JULY 2, 2003	Group: 3763			
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FOREIGN PATENT DOCUMENTS							
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MP BT	90/03152	04/05/90	WIPO	A61B	17/39		
MP BU	2313949	01/07/77	France	A61N	3/02		
MP	93/20747	10/28/93	WIPO	A61B	5/00		
OTHER ART (Including Author, Title, Date, Pertinent Pages, Etc.)							
MP BV	Codman & Shurtleff, Inc. "The Malis Bipolar Electrosurgical System CMC-III Instruction Manual" 7/1991						
DW	<del>Valley Forge's New Products, CLINICA, 475, 5, 11/6/91</del>						
RX	<del>Valley Forge Scientific Corp., "Summary of Safety and Effective Information from 510K," 1991</del>						
MP BY	Codman & Shurtleff, Inc. "The Malis Bipolar Coagulating and Bipolar Cutting System CMC-II" brochure, early 1991						
BZ	<del>L. Malis, "The Value of Irrigation During Bipolar Coagulation" See ARTC 21602, early 4/9/93</del>						
MP CA	L. Malis, "Excerpted from a seminar by Leonard I. Malis, M.D. at the 1995 American Association of Neurological Surgeons Meeting," 1995						
MP CB	L. Malis, "Electrosurgery, Technical Note," J. Neursurg., Vol. 85, 970-975, 11/96						
MP CC	Ian E. Shuman, "Bipolar Versus Monopolar Electrosurgery: Clinical Applications," Dentistry Today, Vol. 20, No. 12, 12/01						
MP CD	Protell et al., "Computer-Assisted Electrocoagulation: Bipolar v. Monopolar in the Treatment of Experimental Canine Gastric Ulcer Bleeding," Gastroenterology Vol. 80, No. 3, pp. 451-455						
MP CE	Cook and Webster, "Therapeutic Medical Devices: Application and Design," 1982						
MP CF	Valleylab SSE2L Instruction Manual, 1/6/83						
MP CG	Robert D. Tucker et al., "Demodulated Low Frequency Currents from Electrosurgical Procedures," Surgery, Gynecology and Obstetrics, 159:39-43, 1984						
MP CH	Lu, et al., "Electrical Thermal Angioplasty: Catheter Design Features, In Vitro Tissue Ablation Studies and In Vitro Experimental Findings," Am J. Cardiol Vol. 60, pp. 1117-1122						
EXAMINER	DATE CONSIDERED		7/22/05				

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		Applicant: RONALD A. UNDERWOOD		
		Filing Date: JULY 2, 2003	Group: 3763	
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				Filing Date
FOREIGN PATENT DOCUMENTS				
	Document No.	Date	Country	Class
				Sub-class
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OTHER ART (Including Author, Title, Date, Pertinent Pages, Etc.)				
<u>MP</u> CH	Selikowitz & LaCourse, "Electric Current and Voltage Recordings on the Myocardium During Electrosurgical Procedures in Canines," <i>Surgery, Gynecology &amp; Obstetrics</i> , Vol. 164, 219-224, March 1987			
<u>MP</u> CI	J. O'Malley, Schaum's Outline of Theory and Problems of Basic Circuit Analysis, McGraw-Hill, 2 <sup>nd</sup> Ed., 1992, pp. 3-5			
<u>MP</u> CJ	Arnaud Wattiez et al., "Electrosurgery in Operative Endoscopy," <i>Electrosurgical Effects</i> , Blackwell Science, pp. 85-93, 1995			
<u>MP</u> CK	Leslie A. Geddes, "Medical Device Accidents: With Illustrative Cases" CRC Press, 1998			
<u>MP</u> CL	Wyeth, "Electrosurgical Unit" pp. 1181-1202			
<u>MP</u> CM	C.P. Swain, et al., <i>Gut</i> Vol. 25, pp. 1424-1431 (1984)			
<u>MP</u> CN	Piercey et al., <i>Gastroenterology</i> Vol. 74(3), pp. 527-534 (1978)			
<u>MP</u> CO	A.K. Dobbie <i>Bio-Medical Engineering</i> Vol. 4, pp. 206-216 (1969)			
<u>MP</u> CP	B. Lee et al. <i>JACC</i> Vol. 13(5), pp. 1167-1175 (1989)			
<u>MP</u> CQ	K. Barry et al. <i>American Heart Journal</i> Vol. 117, pp. 332-341 (1982)			
<u>MP</u> CR	W. Honig <i>IEEE</i> pp. 58-65 (1975)			
<u>CS</u>	<del>Jacob Kline. <i>Handbook of Biomedical Engineering</i>, Academic Press Inc., N.Y., pp. 98-113, 1988</del>			
<u>MP</u> CT	M.B. Dennis et al. "Evolution of Electrofulguration in Control of Bleeding of Experimental Gastric Ulcers," <i>Digestive Diseases and Sciences</i> , Vol. 24, No. 11, 845-848			
<u>CU</u>	Letter from Department of Health to Jerry Malis dated April 15, 1985			
<u>CV</u>	Letter from Jerry Malis to FDA dated July 25, 1985			
<u>MP</u> CW	Letter from Department of Health to Jerry Malis dated 04/22/91			
<u>MP</u> CX	Leonard Malis, "Instrumentation for Microvascular Neurosurgery" <i>Cerebrovascular Surgery</i> , Vol 1, 245-260, 1985.			
EXAMINER <u>McMoffley</u>	DATE CONSIDERED <u>7/20/05</u>			

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		Applicant: RONALD A. UNDERWOOD		
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Reference Designation				U.S. PATENT DOCUMENTS
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				Filing Date
FOREIGN PATENT DOCUMENTS				
	Document No.	Date	Country	Class
				Sub-class
				Translation (yes/no)
<u>MP</u> CY	97/30644	8/28/97	WO	
<u>MP</u> CZ	97/30645	8/28/97	WO	
<u>MP</u> DA	97/30646	8/28/97	WO	
<u>MP</u> DB	97/30647	8/28/97	WO	
<u>MP</u> DC	97/41785	11/13/97	WO	
<u>MP</u> DD	97/41786	11/13/97	WO	
<u>MP</u> DE	97/41787	11/13/97	WO	
<u>MP</u> DF	97/41788	11/13/97	WO	
<u>MP</u> DG	97/43969	11/27/97	WO	
<u>MP</u> DH	97/43970	11/27/97	WO	
<u>MP</u> DI	97/43972	11/27/97	WO	
<u>MP</u> DJ	97/43973	11/27/97	WO	
<u>MP</u> DK	97/44092	11/27/97	WO	
<u>MP</u> DL	99/08613	2/25/99	WO	
<u>DM</u>	0740926	4/12/96	EP	No
OTHER ART (Including Author, Title, Date, Pertinent Pages, Etc.)				
EXAMINER	<u>Mark Foley</u>			
	DATE CONSIDERED <u>7/22/05</u>			



## ELECTRONIC INFORMATION DISCLOSURE STATEMENT

Electronic Version v18

Stylesheet Version v18.0

Title of Invention	SYSTEMS AND METHODS FOR ELECTROSURGICAL TREATMENT OF SLEEP OBSTRUCTIVE DISORDERS				
Application Number:	10/613609 				
Confirmation Number:	7304				
First Named Applicant:	Ronald Underwood				
Attorney Docket Number:					
Search string:	( 5496314 or 5496317 or 5571100 or 5633578 or 5860975 or 4682596 or 5078717 or 5267994 or 5273524 or 5300069 or 5312400 or 5334140 or 5342357 or 5514130 or 5569242 or 4593691 or 4931047 or 4998933 or 5178620 or 5366443 or 5380277 or 5419767 or 5697281 or 5697882 or 5697909 or 4532924 or 4765331 or 4976711 or 5125928 or 4043342 or 4228800 or 4248231 or 4326529 or 4381007 or 4476862 or 4706667 or 5009656 or 5584872 or 5609151 or 5676693 or 5725524 or 4232676 or 5007908 or 5370675 or 5383917 or 4040426 or 4116198 or 4548207 or 4823791 or 5098431 ).pn.				
<b>US Patent Documents</b>					
Note: Applicant is not required to submit a paper copy of cited US Patent Documents					
init	Cite.No.	Patent No.	Date	Patentee	Kind
U	1	5496314	1996-03-05	Eggers	
	2	5496317	1996-03-05	Goble et al.	
	3	5571100	1996-11-05	Goble et al.	
	4	5633578	1997-05-27	Eggers et al.	
	5	5860975	1999-01-19	Goble et al.	
	6	4682596	1987-07-28	Bales et al.	
	7	5078717	1992-01-07	Parins et al.	
	8	5267994	1993-12-07	Gentelia et al.	
V	9	5273524	1993-12-28	Fox et al.	
M	10	5300069	1994-04-05	Hunsberger et al.	



11	5312400	1994-05-17	Bales et al.
12	5334140	1994-08-02	Philips
13	5342357	1994-08-30	Nardella
14	5514130	1996-05-07	Baker
15	5569242	1996-10-29	Lax et al.
16	4593691	1986-06-10	Lindstrom et al.
17	4931047	1990-06-05	Broadwin et al.
18	4998933	1991-03-12	Eggers et al.
19	5178620	1993-01-12	Eggers et al.
20	5366443	1994-11-22	Eggers et al.
21	5380277	1995-01-10	Phillips
22	5419767	1995-05-30	Eggers et al.
23	5697281	1997-12-16	Eggers et al.
24	5697882	1997-12-16	Eggers et al.
25	5697909	1997-12-16	Eggers et al.
26	4532924	1985-08-06	Auth et al.
27	4765331	1988-08-23	Petruzzi et al.
28	4976711	1990-12-11	Parins et al.
29	5125928	1992-06-30	Parins et al.
30	4043342	1997-08-23	Morrison, Jr.
31	4228800	1980-10-21	Degler, Jr. et al.
32	4248231	1981-02-03	Herczog et al.
33	4326529	1982-04-27	Doss et al.
34	4381007	1983-04-26	Doss
35	4476862	1984-10-16	Pao
36	4706667	1987-11-17	Roos
37	5009656	1991-04-23	Reimels
38	5584872	1996-12-17	LaFontaine et al.
39	5609151	1997-03-11	Mulier et al.
40	5676693	1997-10-14	LaFontaine et al.
41	5725524	1998-03-10	Mulier et al.
42	4232676	1980-11-11	Herczog
43	5007908	1991-04-16	Rydell
44	5370675	1994-12-06	Edwards et al.
45	5383917	1995-01-24	Desai et al.
46	4040426	1977-08-09	Morrison, Jr.



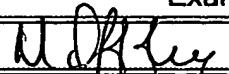
	47	4116198	1978-09-26	Roos
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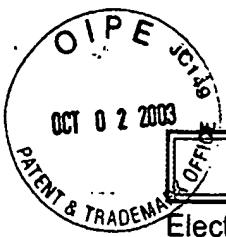
## Remarks

Note: Remarks are not for responding to an office action.

This submission is part 2 of 6 parts each submitted on October 2, 2003. The first part of this submission (part 1) has been concomitantly filed via first class priority mail in a box with instructions for the PTO to charge the proper fee. Accordingly, we do not believe that this part (part 2) of this IDS submission should require an additional fee. Please charge our deposit account not more than one IDS submission fee for the entire submission consisting of 6 parts. Thank you.

## Signature

Examiner Name	Date
	7/22/05



## ELECTRONIC INFORMATION DISCLOSURE STATEMENT

Electronic Version v18

Stylesheet Version v18.0

Title of Invention	SYSTEMS AND METHODS FOR ELECTROSURGICAL TREATMENT OF SLEEP OBSTRUCTIVE DISORDERS				
Application Number:	10/613609 				
Confirmation Number:	7304				
First Named Applicant:	Ronald Underwood				
Attorney Docket Number:					
Search string:	( 6074386 or 6090106 or 6093186 or 6228081 or 6261286 or 6293942 or 6306134 or 3815604 or 3920021 or 4590934 or 4785823 or 4805616 or 4832048 or 5085659 or 5171311 or 5207675 or 5888198 or 5891095 or 5902272 or 6066134 or 6149620 or 6159194 or 6159208 or 6179836 or 6190381 or 6203542 or 6224592 or 6235020 or 6238391 or 6254600 or 6264652 or 6296636 or 6296638 or 6312408 or 6322549 or 6355032 or 6363937 or 6379351 or 6391025 or 6416507 or 6416508 or 6432103 or 5873855 or 6024733 or 6063079 or 6109268 or 6117109 or 6142992 or 6179824 or 6183469 ).pn.				
<b>US Patent Documents</b>					
Note: Applicant is not required to submit a paper copy of cited US Patent Documents					
init	Cite.No.	Patent No.	Date	Patentee	Kind
UP	1	6074386	2000-06-13	Goble et al.	
	2	6090106	2000-07-18	Goble et al.	
	3	6093186	2000-07-25	Goble et al.	
	4	6228081	2001-05-08	Goble	
	5	6261286	2001-07-17	Goble et al.	
	6	6293942	2001-09-25	Goble et al.	
	7	6306134	2001-10-23	Goble et al.	
	8	3815604	1974-06-11	O'Malley et al.	
DP	9	3920021	1975-11-18	Hillebrandt	
DP	10	4590934	1986-05-27	Malis et al.	



11	4785823	1988-11-22	Eggers et al.
12	4805616	1989-02-21	Pao
13	4832048	1989-05-23	Cohen
14	5085659	1992-02-04	Rydell
15	5171311	1992-12-15	Rydell et al.
16	5207675	1993-05-04	Canady
17	5888198	1999-03-30	Eggers et al.
18	5891095	1999-03-30	Eggers et al.
19	5902272	1999-05-11	Eggers et al.
20	6066134	2000-05-23	Eggers et al.
21	6149620	2000-11-21	Baker et al.
22	6159194	2000-12-12	Eggers et al.
23	6159208	2000-12-12	Hovda et al.
24	6179836	2001-01-30	Eggers et al.
25	6190381	2001-02-20	Olsen et al.
26	6203542	2001-03-20	Ellsberry et al.
27	6224592	2001-05-01	Eggers et al.
28	6235020	2001-05-22	Cheng et al.
29	6238391	2001-05-29	Olsen et al.
30	6254600	2001-07-30	Willink et al.
31	6264652	2001-07-24	Eggers et al.
32	6296636	2001-10-02	Cheng et al.
33	6296638	2001-10-02	Davison et al.
34	6312408	2001-11-06	Eggers et al.
35	6322549	2001-11-27	Eggers et al.
36	6355032	2002-03-12	Hovda et al.
37	6363937	2002-04-02	Hovda et al.
38	6379351	2002-04-30	Thapliyal et al.
39	6391025	2002-05-21	Weinstein et al.
40	6416507	2002-07-09	Eggers et al.
41	6416508	2002-07-09	Eggers et al.
42	6432103	2002-08-13	Ellsberry et al.
43	5873855	1999-02-23	Eggers et al.
44	6024733	2000-02-15	Eggers et al.
45	6063079	2000-05-16	Hovda et al.
46	6109268	2000-08-29	Thapliyal et al.



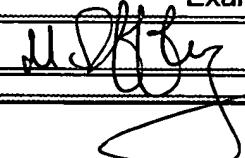
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MP	48	6142992	2000-11-07	Cheng et al.
MP	49	6179824	2001-01-30	Eggers et al.
MP	50	6183469	2001-02-06	Thapliyal et al.

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## Signature

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<b>US Patent Documents</b>					
Note: Applicant is not required to submit a paper copy of cited US Patent Documents					
init	Cite.No.	Patent No.	Date	Patentee	Kind
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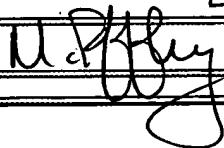
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## Remarks

Note: Remarks are not for responding to an office action.

This submission is part 3 of 6 parts each submitted on October 2, 2003. The first part of this submission (part 1) has been concomittently filed via first class mail with instructions for the PTO to charge the proper fee. Accordingly, we do not believe that this part (part 3) of this IDS submission should require an additional fee. Please charge our deposit account not more than one IDS submission fee for the entire submission consisting of 6 parts. Thank you.

## Signature

Examiner Name	Date
	7/22/05